

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Ansgar Werner, Simon Gessler, Horst Hartmann, Andre Grussing, Michael Limmert, Andrea Lux and Kentaro Harada

Serial No./Patent No.: 10/585,215 Filed/Issue Date: February 24, 2009

For: USE OF A METAL COMPLEX AS AN N-DOPANT FOR AN ORGANIC SEMICONDUCTING MATRIX MATERIAL, ORGANIC OF SEMICONDUCTING MATERIAL AND ELECTRONIC COMPONENT, AND ALSO A DOPANT AND LIGAND AND PROCESS FOR PRODUCING SAME

Novalad AG, a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office on May 18, 2007 at Reel 019312 Frame 0164, and on July 08, 2010 at Reel 024653 Frame 0064, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplement sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned is authorized and empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature: _____

Printed Name: Peter G. Pappas - Reg. 33,205

Date: 18 August 2010

TO:BAKER BOTTS L.L.P. COMPANY:30 ROCKEFELLER PLAZA

**UNITED STATES PATENT AND
TRADEMARK OFFICE****Facsimile Transmission**

To:	Name:	BAKER BOTTS L.L.P.
	Company:	30 ROCKEFELLER PLAZA
	Fax Number:	12122592482
	Voice Phone:	
From:	Name:	ASSIGNMENT SERVICES BRANCH
	Voice Phone:	571-272-3350

37 C.F.R. 1.6 sets forth the types of correspondence that can be communicated to the Patent and Trademark Office via facsimile transmissions. Applicants are advised to use the certificate of facsimile transmission procedures when submitting a reply to a non-final or final Office action by facsimile (37 CFR 1.8(a)).

Fax Notes:

Pg#	Description
1	Cover Page
2	729.TXT
4	Document 1, Batch 932007

USPTO ASSIGNMENT SYSTEM PROCESSING

Date and time of transmission: Sunday, May 20, 2007 7:29:56 AM
Number of pages including this cover sheet: 05

TO:BAKER BOTTS L.L.P. COMPANY:30 ROCKEFELLER PLAZA

**UNITED STATES PATENT AND TRADEMARK OFFICE**UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAY 18, 2007

PTAS

500279509A~~*500279509A*~~BAKER BOTTS L.L.P.
30 ROCKEFELLER PLAZA
44TH FLOOR
NEW YORK, NY 10112-4498UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENTTHE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 05/18/2007

REEL/FRAME: 019312/0164
NUMBER OF PAGES: 11BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 071956.0113ASSIGNOR:
WERNER, ANSGAR

DOC DATE: 03/28/2007

ASSIGNOR:
GESSLER, SIMON

DOC DATE: 04/12/2007

ASSIGNOR:
HARTMANN, HORST

DOC DATE: 03/30/2007

ASSIGNOR:
GRUSSING, ANDRE

DOC DATE: 10/04/2006

ASSIGNOR:
LIMMERT, MICHAEL

DOC DATE: 03/30/2007

USPTO

5/20/2007 7:30:08 AM

PAGE

3/005

Fax Server

TO:BAKER BOTTS L.L.P. COMPANY:30 ROCKEFELLER PLAZA

ASSIGNOR:

LUX, ANDREA

DOC DATE: 03/30/2007

019312/0164 PAGE 2

ASSIGNOR:

HARADA, KENTARO

DOC DATE: 04/17/2007

ASSIGNEE:

NOVALED GMBH

TATZBERG 49

DRESDEN, GERMANY 01307

SERIAL NUMBER: 10585215

FILING DATE:

PATENT NUMBER:

ISSUE DATE:

TITLE: USE OF A METAL COMPLEX AS AN N-DOPANT FOR AN ORGANIC SEMICONDUCTING
MATRIX MATERIAL, ORGANIC SEMICONDUCTING MATERIAL AND ELECTRONIC
COMPONENT, AND ALSO A DOPANT AND LIGAND AND PROCESS FOR PRODUCING
SAME

ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

TO:BAKER BOTTS L.L.P. COMPANY:30 ROCKEFELLER PLAZA

PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.105/18/2007
500279509

SUBMISSION TYPE:	NEW ASSIGNMENT																
NATURE OF CONVEYANCE:	ASSIGNMENT																
CONVEYING PARTY DATA																	
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>ANSGAR WERNER</td><td>03/28/2007</td></tr><tr><td>SIMON GESSLER</td><td>04/12/2007</td></tr><tr><td>HORST HARTMANN</td><td>03/30/2007</td></tr><tr><td>ANDRE GRUSSING</td><td>10/04/2006</td></tr><tr><td>MICHAEL LMMERT</td><td>03/30/2007</td></tr><tr><td>ANDREA LUX</td><td>03/30/2007</td></tr><tr><td>KENTARO HARADA</td><td>04/17/2007</td></tr></tbody></table>	Name	Execution Date	ANSGAR WERNER	03/28/2007	SIMON GESSLER	04/12/2007	HORST HARTMANN	03/30/2007	ANDRE GRUSSING	10/04/2006	MICHAEL LMMERT	03/30/2007	ANDREA LUX	03/30/2007	KENTARO HARADA	04/17/2007	
Name	Execution Date																
ANSGAR WERNER	03/28/2007																
SIMON GESSLER	04/12/2007																
HORST HARTMANN	03/30/2007																
ANDRE GRUSSING	10/04/2006																
MICHAEL LMMERT	03/30/2007																
ANDREA LUX	03/30/2007																
KENTARO HARADA	04/17/2007																
RECEIVING PARTY DATA																	
Name:	NOVALED GmbH																
Street Address:	Tatzberg 49																
City:	Dresden																
State/Country:	GERMANY																
Postal Code:	01307																
PROPERTY NUMBERS Total: 1																	
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>10585215</td></tr></tbody></table>	Property Type	Number	Application Number:	10585215													
Property Type	Number																
Application Number:	10585215																
CORRESPONDENCE DATA																	
Fax Number:	(212)259-2482																
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>																	
Phone:	212-408-2539																
Email:	david.schalk@bakerbotts.com																
Correspondent Name:	Baker Botts L.L.P.																
Address Line 1:	30 Rockefeller Plaza																
Address Line 2:	44th Floor																
Address Line 4:	New York, NEW YORK 10112-4498																
ATTORNEY DOCKET NUMBER:	071956.0113																

CH \$40.00 10585215

TO: BAKER BOTTS L.L.P. COMPANY: 30 ROCKEFELLER PLAZA

NAME OF SUBMITTER:

David Schalk

Total Attachments: 9

source=NYC_ECOPY#page1.tif

source=NYC_ECOPY#page2.tif

source=NYC_ECOPY#page3.tif

source=NYC_ECOPY#page4.tif

source=NYC_ECOPY#page5.tif

source=NYC_ECOPY#page6.tif

source=NYC_ECOPY#page7.tif

source=NYC_ECOPY#page8.tif

source=NYC_ECOPY#page9.tif

TO: SUTHERLAND ASBILL AND BRENNAN LLP COMPANY: 999 PEACHTREE STREET

**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE



501226869

JULY 08, 2010

PTAS

SUTHERLAND ASBILL AND BRENNAN LLP
999 PEACHTREE STREET
ATLANTA, GA 30309

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 07/08/2010

REEL/FRAME: 024653/0064

NUMBER OF PAGES: 6

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 17346-0088

ASSIGNOR:
NOVALED GMBH

DOC DATE: 05/08/2007

ASSIGNEE:
NOVALED AG
TATZBERG 49
DRESDEN, GERMANY 01307

SERIAL NUMBER: 10585215

FILING DATE: 02/24/2009

PATENT NUMBER:

ISSUE DATE:

TITLE: USE OF A METAL COMPLEX AS AN N-DOPANT FOR AN ORGANIC SEMICONDUCTING MATRIX MATERIAL, ORGANIC OF SEMICONDUCTING MATERIAL AND ELECTRONIC COMPONENT, AND ALSO A DOPANT AND LIGAND AND PROCESS FOR PRODUCING SAME

USPTO

7/8/2010 6:04:59 PM PAGE 3/004 Fax Server

TO:SUTHERLAND ASBILL AND BRENNAN LLP COMPANY:999 PEACHTREE STREET

024653/0064 PAGE 2

TARA WASHINGTON, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

TO:SUTHERLAND ASBILL AND BRENNAN LLP COMPANY:999 PEACHTREE STREET

PATENT ASSIGNMENT

Electronic Version v1.1

07/08/2010

Stylesheet Version v1.1

501226869

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	CHANGE OF NAME
CONVEYING PARTY DATA	
Name	Execution Date
Novaled GmbH	05/08/2007
RECEIVING PARTY DATA	
Name:	Novaled AG
Street Address:	Tatzberg 49
City:	Dresden
State/Country:	GERMANY
Postal Code:	01307
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	10585215
CORRESPONDENCE DATA	
Fax Number:	(404)853-8806
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	4048538000
Email:	pete.pappas@sutherland.com
Correspondent Name:	Sutherland Asbill and Brennan LLP
Address Line 1:	999 Peachtree Street
Address Line 4:	Atlanta, GEORGIA 30309
ATTORNEY DOCKET NUMBER:	17346-0088
NAME OF SUBMITTER:	Peter G. Pappas
Total Attachments: 5 source=Original German Name Change#page1.tif source=Original German Name Change#page2.tif source=Name Change English Translation #page1.tif source=Name Change English Translation #page2.tif source=Name Change English Translation #page3.tif	

CH 540.00 10585215

TO: SUTHERLAND ASBILL AND BRENNAN LLP COMPANY: 999 PEACHTREE STREET



UNITED STATES PATENT AND TRADEMARK OFFICE

Facsimile Transmission

To: Name: SUTHERLAND ASBILL AND BRENNAN LLP
 Company: 999 PEACHTREE STREET
 Fax Number: 14048538806
 Voice Phone:

From: Name: ASSIGNMENT SERVICES BRANCH
 Voice Phone: 571-272-3350

37 C.F.R. 1.6 sets forth the types of correspondence that can be communicated to the Patent and Trademark Office via facsimile transmissions. Applicants are advised to use the certificate of facsimile transmission procedures when submitting a reply to a non-final or final Office action by facsimile (37 CFR 1.8(a)).

Fax Notes:

Pg#	Description
1	Cover Page
2	817.TXT
4	Document 1, Batch 2100432

USPTO ASSIGNMENT SYSTEM PROCESSING

Date and time of transmission: Thursday, July 08, 2010 6:04:44 PM
Number of pages including this cover sheet: 04